Add

Remove

T5

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

				Application N	umber						
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)				Filing Date			2006-05-23				
				First Named	First Named Inventor OBE		RLAND, Richard				
				Art Unit	Art Unit						
( Not for submission under 37 CFR 1.99)			Examiner Name								
				Attorney Doc	Attorney Docket Number			16085.13			
				U.S.	PATENTS				Remove		
Examiner Initial*	Cite No	Patent Number	Issue Date Name of Pater of cited Docun			ment Rele		es,Columns,Lines where evant Passages or Relevant ires Appear			
	1										
If you wisl	h to a	dd additional U.S. Pate	nt citatio	n informat <b>i</b> on pl	ease click	the A	dd button.		Add		
			U.S.P	ATENT APPLI	CATION P	UBLI	CATIONS		Remove		
	Cite No	Publication Number 1 1		Publication Name of F Date of cited Do			Release or Applicant   Release		ges,Columns,Lines where evant Passages or Relevant ures Appear		
	1										
If you wisl	h to a	⊥ dd additional U.S. Publ	lished Ap	l plication citation	ı n informati	on ple	ase click the Ad	l d button	Add		
				FOREIGN PAT	ENT DOC	UME	NTS		Remove		
Examiner Initial*	Cite No	Foreign Document Number <sup>3</sup>	Country Code <sup>2</sup>		Publication Date	on /	Name of Patented Applicant of cited Document	e or	where Re	or Relevant	T5
/D.T./	1	1 271 808	EP		2003-01-0		Nippon Telegraph Telephone Corpora				

Examiner Initials\*

Cite No

Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.

**NON-PATENT LITERATURE DOCUMENTS** 

If you wish to add additional Foreign Patent Document citation information please click the Add button

## Application Number Filing Date 2006-05-23 INFORMATION DISCLOSURE First Named Inventor OBERLAND, Richard STATEMENT BY APPLICANT Art Unit ( Not for submission under 37 CFR 1.99) **Examiner Name** Attorney Docket Number 16085.13 Griffin R., et al., OPTICAL SOCIETY OF AMERICA/INSTITUTE OF ELECTRICAL AND ELECDTRONICS /D.T./ 1 ENGINEERS: "Integrated DQPSK Transmitter for Dispersion-Tolerant and Dispersion-Managed DWDM Transmission; March 23, 2003, vol. TOPS. vol. 86 If you wish to add additional non-patent literature document citation information please click the Add button Add **EXAMINER SIGNATURE** 03/25/2009 **Examiner Signature Date Considered** /Dzung Tran/ \*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 See Kind Codes of USPTO Patent Documents at www.USPTO.GOV or MPEP 901.04. 2 Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>3</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

<sup>4</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>5</sup> Applicant is to place a check mark here if

English language translation is attached.

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

( Not for submission under 37 CFR 1.99)

Application Number			
Filing Date		2006-05-23	1
First Named Inventor OBE		RLAND, Richard	7
Art Unit			
Examiner Name			
Attorney Docket Number		16085.13	

		CERT	TIFICATION STATEMENT					
Plea	ase see 37 CF	FR 1.97 and 1.98 to make the approp	riate selection(s):					
	That each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(1).							
OR	<b>!</b>							
	That no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement. See 37 CFR 1.97(e)(2).							
	See attached certification statement.							
	Fee set forth in 37 CFR 1.17 (p) has been submitted herewith.							
<b>√</b>	None							
۸۰	ianatura of the	o applicant or representative is requir	SIGNATURE ed in accordance with CFR 1.33, 10.	18 Places see CER 1 4(d) for the				
	of the signat		ed in accordance with OFIX 1.55, 10.	10. Flease see Cl IX 1.4(a) for the				
Sigr	nature	/R. Burns Israelsen/	Date (YYYY-MM-DD)	2006-05-23				
Nan	ne/Print	R. Burns Israelsen	Registration Number	42685				

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1 hour to complete, including gathering, preparing and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.** 

## **Privacy Act Statement**

The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

- 1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether the Freedom of Information Act requires disclosure of these record s.
- A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a
  court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement
  negotiations.
- 3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
- 4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
- 5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
- 6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
- 7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
- 8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspections or an issued patent.
  - 9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.